

## R10 InfoPage

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## Q&amp;D - Office of Air, Waste &amp; Toxics - Air Planning Unit - Records Disposition Schedules

RECORD SERIES	DISPOSITION	NARA #
Link to the common	Link to your full printable	Link to Printable
<b>Housekeeping Schedules</b>	OAWT - APU	<b>Intuitive Folders</b>
not included in this table	<b>File Plan Spreadsheet</b>	List
<p><b>AIR QUALITY MANAGEMENT FILES:</b> Contains records pertaining to implementation and management of primary and secondary air quality standards for criteria pollutants (e.g., carbon monoxide, nitrogen oxides, lead, sulfur dioxides, ozone and particulates). Also covered are the National Emissions Standards for Hazardous Pollutants (NESHAPS) for hazardous air pollutants (e.g., asbestos, mercury, vinyl chloride, benzene, radionuclides, arsenic, and coke oven emissions). Includes annual air quality data reports, air quality modeling reports, annual source emissions and state action reports, prevention of significant air quality deterioration (PSD) non-applicability files, notification forms, Section 109(j) consistency reports, correspondence, and related documents.</p> <p><b>Item a:</b> Record copy</p> <p><b>Function:</b> 108-025-01-01 <b>216</b></p>	<p><b>Item a: Disposable</b> Close inactive records at end of year. Destroy 5 years after file closure.</p>	<p>N1-412-07-59/2</p> <p><b>Status:</b> Final, 02/29/2012</p>
<p><b>Clean Air Status and Trends Network (CASTNET):</b> The Clean Air Status and Trends Network (CASTNET) is a national air monitoring network sponsored by EPA and the National Park Service (NPS). The network collects data from over 80 monitoring sites across the United States for determining relationships between emissions, air quality, deposition, and ecological effects. The National Dry Deposition Network (NDDN), EPA's forerunner to CASTNET, was established in 1986 to provide information on, and to track trends in, pollutant concentrations and the dry deposition component of total atmospheric deposition. CASTNET was established in 1991 and NDDN was merged into CASTNET. Public data is available on EPA's Web site.</p> <p><b>Item b:</b> Input; <b>Item d:</b> Output and reports</p> <p>108-023-01 <b>242</b></p>	<p><b>Item b:</b> Input <b>Disposable</b> Follow instructions for EPA 171 - Input and Source Records.</p> <p><b>Item d:</b> Output and reports <b>Varies</b> File with, and follow instructions for, the related records.</p>	<p>N1-412-08-17</p> <p><b>Status:</b> Draft, 1/31/2009</p>
<p><b>COMPLIANCE FILES:</b> Contains records used to determine compliance with pollution regulations and to recommend legal enforcement actions if necessary. Includes compliance schedules, inspections, reports, correspondence, inventories, sampling and analytical data, field notebooks, and related documents. Also includes notices of noncompliance, and compliance</p>	<p><b>Item a: Disposable</b> Close inactive records at end of year. Destroy 5 years after file closure.</p>	<p>N1-412-07-1/10</p> <p><b>Status:</b> Final, 12/31/2007</p>

<b>Function:</b> 108-025-08 211	<p><b>Item b: Disposable</b> Close inactive records upon filing of final invoice or completion or termination of the task order or work assignment.  Destroy 6 years and 3 months after final payment for the overall contract.</p> <p><b>Item c: Disposable</b> Close inactive records upon filing of final invoice or completion or termination of the task order or work assignment.  Destroy 6 years and 3 months after final payment for the overall contract.</p>	<p>N1-412-06-6/5</p> <p><b>Status:</b> Final, 10/31/2008</p>
<p><b>CONTRACT MANAGEMENT RECORDS:</b> Contract records include all correspondence and related records pertaining to the award, administration, receipt, inspection and payment of any and all contracts to which EPA is a party and which are maintained and used by the Agency or Contracting Officer for contract documentation and for performance and financial monitoring and oversight activities. Also includes reviews and audits conducted by the Financial Analysis and Rate Negotiation Service Center (FARSC). Excludes: Superfund site-specific contract management records scheduled as EPA 020; final deliverables scheduled as EPA 258; and unsuccessful bids and proposals not filed with the related contract case files scheduled as EPA 275.</p> <p><b>Item b:</b> Contract-level Contracting Officer's Representative (COR) Formerly called Project Officer (PO)</p> <p><b>Item c:</b> Other Contracting Officer's Representative (COR) Includes Delivery Order CORs, Simplified Acquisition CORs, Task Order CORs, and Work Assignment CORs. Formerly called Delivery Order Project Officer (DOPO) or Work Assignment Manager (WAM)</p> <p><b>Function:</b> 405 202</p>	<p><b>Item a: Disposable</b> Close inactive records upon settlement or closing of case. Destroy 10 years after file closure.</p> <p><b>Item b: Disposable</b> Close inactive records upon settlement or closing of case. Destroy 20 years after file closure.</p> <p><b>Item c(1): Permanent</b> Close inactive records upon settlement or closing of case.  Transfer to the National Archives in 5 year blocks 20 years after file closure. If record is microform, destroy paper after quality assurance is completed.</p> <p><b>Item c(2): Permanent</b> Close inactive records upon settlement or closing of case.  Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p><b>Item c(3): Disposable</b> Close file upon transfer to the National Archives.  Delete after electronic record copy is successfully transferred to the National Archives.</p>	<p>N1-412-07-2/9</p> <p><b>Status:</b> Final, 12/31/2012</p>
<p><b>ENFORCEMENT ACTION FILES:</b> Includes all cases referred to Office of Regional Counsel or other offices with enforcement authority, for action against a pollution source or discharger. Includes correspondence, meeting documentation, inspections, field notebooks, evaluations, documentation of administrative actions including notices of violation, notices of deficiency, information requests, warning letters, administrative compliance orders, documentation of civil and criminal actions, corrective action orders, attorney work products, case summaries, pleadings, state and local enforcement records, settlement documents including consent decrees, discovery requests, and notices of intent to sue.</p> <p>Excludes: Superfund site-specific and oil spill site-specific enforcement actions scheduled as EPA 025 and EPA 480, respectively.</p> <p><b>Item a:</b> Administrative case files, whether a formal enforcement action is initiated or not <b>Item b:</b> Judicial case files where routine legal actions are required <b>Item c(1):</b> Landmark or precedent cases - Nonelectronic Includes cases as designated by the Regional Administrator's designee. <b>Item c(2):</b> Landmark or precedent cases - Electronic Includes cases as designated by the Regional Administrator's designee. <b>Item c(3):</b> Landmark or precedent cases - Electronic copy of records transferred to the National Archives Includes cases as designated by the Regional Administrator's designee.</p> <p><b>Function:</b> 108-025-08 207</p>	<b>Item a(1): Permanent</b>	

the Agency, or produced in-house by individuals, committees, or task forces. Also includes final reports resulting from special studies and surveys completed within the Agency.

**Item a(1):** Environmental programs, except Superfund site-specific - Nonelectronic

**Item a(2):** Environmental programs, except Superfund site-specific - Electronic

**Item a(3):** Environmental programs, except Superfund site-specific - Electronic copy of records transferred to the National Archives

**Item b:** Superfund site-specific

**Item c:** Non-environmental programs

**Function:** 305-109-01 258

years after file closure.

2/28/2011

**Item a(2):Permanent**

Close inactive records upon completion of project.

Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.

**Item a(3):Disposable**

Close file upon transfer to the National Archives.

Delete after electronic record copy is successfully transferred to the National Archives.

**Item b:Disposable**

Close inactive records upon completion of project.

Destroy 30 years after file closure.

**Item c:Disposable**

Close inactive records upon completion of project.

Destroy 7 years after file closure.

**GRANTS & OTHER PROGRAM SUPPORT**

**AGREEMENTS:** Includes records that document all types of agreements with other federal, state, or local government agencies, universities, non-profit organizations, Tribes, and other institutions to which EPA is a party, and that support EPA's environmental programs (other than Superfund site-specific, and waste water construction and state revolving fund grants). Specific types of agreements include assistance agreements, grants, cooperative agreements, interagency agreements, agreements for "guest" workers, and other types of program support agreements administered by headquarters or EPA regions and that provide for research, demonstration projects, training, fellowships, investigation, surveys, studies, or other types of program support activities.

Also includes supporting documentation. Specific types of records include, but are not limited to, documentation of significant actions and decisions relating to and supporting the award of agreements, documentation of actions and decisions relating to the competition of agreements, announcements and solicitations of funding opportunities, justifications, requests and justifications for the non-competitive award of agreements, cost estimates, scopes of work, correspondence, applications, pre-award reviews, funding decisions, award documentation, documentation relating to the evaluation of proposals and applications, conflict of interest documentation, transmittal correspondence, agreements, agreement oversight activities, non-compliance documentation, dispute documentation, audit records, closeout documentation for completed agreements; and reports and evaluations resulting from agreements.

Excludes: Final products and deliverables (EPA

**Item a:Disposable**

Close inactive records immediately after closeout of the agreement.

Destroy 10 years after file closure.

N1-412-07-34

**Status:** Final,  
7/31/2010

232).		
<p><b>Item a:</b> Record copy</p> <p>Function: 205 <b>003</b></p>		
<p><b>NESHAPS Radiation Facility and Site Files:</b> Documents relating to investigation of emissions into the air from radiologically contaminated sites, radioactive waste disposal sites, and industrial sources of radionuclides as air pollutants under NESHAPS (National Emissions Standards for Hazardous Pollutants). NESHAPS are standards that limit emissions from specific sources of air pollutants (chemical or radioactive) that are known or suspected to cause serious health problems. The NESHAPS for radionuclides apply to air pollutants that are hazardous because they emit radiation.</p> <p><b>Item a:</b> Department of Energy NESHAPS reports Includes reports of radionuclide emissions submitted by facilities and sites owned or operated by the U.S. Department of Energy (DOE) or its contractors.</p> <p><b>Item b:</b> Other federal NESHAPS reports Includes reports of radionuclide emissions submitted by federal facilities and sites other than Nuclear Regulatory Commission (NRC) licensees, and DOE owned or operated installations.</p> <p><b>Item c:</b> Non-federal documentation Includes radionuclide emission documentation for non-federal facilities and sites that are licensed or overseen by the NRC, the states, or other entities (e.g., Native American tribes), including NRC inspection reports, inspection referral forms, and correspondence between the NRC, its licensees, and EPA.</p> <p>108-025-01-04 <b>220</b></p>	<p><b>Item a: Disposable</b> Close inactive records when facilities and sites become inactive or oversight ends.  Destroy 10 years after file closure.</p> <p><b>Item b: Disposable</b> Close inactive records when facilities and sites become inactive or oversight ends.  Destroy 10 years after file closure.</p> <p><b>Item c: Disposable</b> Close inactive records at end of year.  Destroy 10 years after file closure.</p>	<p>N1-412-07-60/2</p> <p><b>Status:</b> Final, 09/30/2008</p>
<p><b>RADIOLOGICAL EMERGENCY PLANNING:</b> EPA is responsible for establishing Protective Action Guides (PAGs) for all aspects of radiological emergency planning in coordination with appropriate federal agencies and for preparing guidance for state and local governments on implementation. Includes copies of state and local emergency response plans, inspection reports, correspondence, and safety analysis reports relating to EPA's role in providing guidance and advice to federal, state, and local officials on when and how to take protective actions as they pertain to the effects of radiation exposure to human health from accidents involving radioactive materials. State and local radiological emergency response plans are created for the Federal Emergency Management Agency (FEMA) and EPA receives copies. Nuclear licensees submit final safety analysis reports to the Nuclear Regulatory Commission (NRC) and NRC provides EPA with copies for review. The EPA files also consist of notes taken by an EPA observer at annual emergency preparedness exercises that are required by FEMA.</p> <p><b>Item a:</b> Record copy</p> <p>Function: 104-008-02 <b>222</b></p>	<p><b>Item a: Disposable</b> Close inactive records at end of year.  Destroy 5 years after file closure.</p>	<p>N1-412-07-60/3</p> <p><b>Status:</b> Final, 09/30/2008</p>
	<b>Item a: Disposable</b>	



<p>Training Centers and technical assistance related to radon problem assessment, mitigation, and prevention. Consists of health risk surveys and data, reports, public notices and information, instructional materials, records of communication, and related correspondence.</p> <p><b>Item a:</b> Record copy</p>		8/31/2010
<p><b>Function:</b> 108-025-01-03 <b>219</b></p> <p><b>REGULATIONS, STANDARDS, and GUIDELINES:</b> Files contain information relating to the development, review, and approval of published and unpublished rules and regulations pursuant to environmental legislation passed by Congress. Records include drafts of proposed regulations and guidelines, the final regulations and guidelines, public and internal comments including concurring and dissenting opinions, OMB request for comments, hearing transcripts, meeting minutes, background documents and other technical support material generated during the process to develop and approve the regulation, standard, or guideline, along with current indexes of documents both included and cited as precedent. Files may include confidential business information or other information to which access is restricted.</p> <p><b>Item a(1):</b> Published regulations, standards, and guidelines - Nonelectronic</p> <p><b>Item a(2):</b> Published regulations, standards, and guidelines - Electronic</p> <p><b>Item a(3):</b> Published regulations, standards, and guidelines - Electronic copy of records transferred to the National Archives</p> <p><b>Item b:</b> Unpublished regulations, standards, and guidelines</p> <p><b>Function:</b> 306-114 <b>149</b></p>	<p><b>Item a(1): Permanent</b> Close inactive records upon promulgation of rule or approval of guideline.  Transfer to the National Archives 20 years after file closure. If record is microform, destroy paper after quality assurance is completed.</p> <p><b>Item a(2): Permanent</b> Close inactive records upon promulgation of rule or approval of guideline.  Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p><b>Item a(3): Disposable</b> Close file upon transfer to the National Archives.  Delete after electronic record copy is successfully transferred to the National Archives.</p> <p><b>Item b: Disposable</b> Close inactive records upon decision to not publish the regulation, standard, or guideline.  Destroy 10 years after file closure. If record is microform, destroy paper after quality assurance is completed.</p>	<p>N1-412-07-2/6</p> <p><b>Status:</b> Final, 01/31/2011</p>
<p><b>STATE, TRIBAL AND FEDERAL IMPLEMENTATION PLANS:</b> Includes records that document the process for approving state, tribal and federal implementation plans (SIPs, TIPs, FIPs) for the attainment and maintenance of national ambient air quality standards for certain criteria pollutants in a given area under section 110 of the Clean Air Act. Also includes plans which establish emission standards to control designated pollutants upon EPA publication of final emission guidelines for designated facilities in accordance with section 111(d) of the Clean Air Act. Consists of plan and amendments, correspondence, copies of statutes and regulations, documentation of public participation activities. Also includes documents relating to EPA's review, evaluation, and determination of the program including technical support documents, Federal Register notices, action memoranda, communications strategies, public comments, review forms, and other documents.</p> <p><b>Item a(1):</b> Record copy - Nonelectronic</p> <p><b>Item a(2):</b> Record copy - Electronic</p>	<p><b>Item a(1):Permanent</b> Close inactive records as plans are revised or superseded.  Transfer to the National Archives in 5 year blocks 20 years after file closure.</p> <p><b>Item a(2):Permanent</b> Close inactive records as plans are revised or superseded.  Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p><b>Item a(3):Disposable</b> Close file upon transfer to the National Archives.  Delete after electronic record copy is successfully transferred to the National Archives.</p>	<p>N1-412-07-59/3</p> <p><b>Status:</b> Final, 12/31/2012</p>

Function: 108-025-01-01 <b>217</b>		
<b>STATE AND OTHER ENTITY RELATIONS AND OVERSIGHT FILES:</b> Contains records used to oversee programs operated in lieu of a federal program by states and other entities. Includes reports, inspections, inventories, correspondence, program reviews, and corrective actions. <b>Item a:</b> Record copy	<b>Item a: Disposable</b> Close inactive records at end of year. Destroy 10 years after file closure.	N1-412-07-1/9  <b>Status:</b> Final, 03/30/2007
Function: 301-093 <b>203</b>		
<b>UNSUCCESSFUL GRANT APPLICATION FILES:</b> Includes but is not limited to applications, proposals, correspondence, and other records and documentation related to unsuccessful (e.g., rejected, withdrawn, not selected for award under a competition) applications for grants and unsolicited proposals for grants that are not accepted for award. This includes documentation relating to the evaluation of the unsuccessful application or unsolicited proposal for award. <b>Item a:</b> Record Copy	<b>Item a: Disposable</b> Close inactive records after rejection or withdrawal. Destroy 3 years after file closure.	GRS 3/13  <b>Status:</b> Final, 02/14/2007
Function: 205 <b>274</b>		
<b>EPA NON-RECORDS:</b> Consists of nonrecord copies. Nonrecord materials are those Agency-owned informational materials that do not meet the statutory definition of records in 44 U.S.C. Section 3301 or that have been excluded from coverage by that definition. Examples of Non-Records: Technical Reference Materials, News Clippings, Convenience Copies, Stocks of Forms, Publications, and Processed Documents, Materials Not Appropriate for Preservation, Library or Museum Materials, Working Papers and Drafts.	<b>Item a: Disposable</b> Close when obsolete, superseded or no longer needed for reference. Destroy immediately after file closure.	<b>NOT APPLICABLE</b>  <b>Status:</b> Final, 02/12/2007
Function: 0 <b>008</b>	<a href="#">Accessibility</a>	<a href="#">EPA Locator</a> <a href="#">EPA Home</a>

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